

PATENT

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DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name, that I believe I am the original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention or design entitled "ROPES OF SINGLE-WALL CARBON NANOTUBES" the specification of which (check one):

- ☐ attached hereto; or
☒ was filed on July 26, 1996 as Application Serial No. 08/687,665;

that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above; and that I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to me to be material to patentability as defined in 37 C.F.R. § 1.56.

I hereby appoint:

Jerry W. Mills	Reg. No. 23,005
Rodger L. Tate	Reg. No. 27,399
Scott F. Partridge	Reg. No. 28,142
Andy Arismendi, Jr.	Reg. No. 31,715
James G. Gatto	Reg. No. 32,694
Michael E. Wilson	Reg. No. 32,835
James B. Arpin	Reg. No. 33,470
C. Patrick Turley	Reg. No. 35,723
James Reminick	Reg. No. 36,902
Christopher C. Campbell	Reg. No. 37,291
Roger J. Fulghum	Reg. No. 39,678

all of the firm of Baker & Botts, L.L.P., my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the United States Patent and

PATENT

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Trademark Office connected therewith, and to file and prosecute any international patent applications filed thereon before any international authorities under the Patent Cooperation Treaty.

Send Correspondence To:

Direct Telephone Calls To:

Rodger L. Tate
BAKER & BOTTS, L.L.P.

The Warner

1299 Pennsylvania Ave., N.W.
Washington, D.C. 20004-2400

at (202) 639-7700

Attorney Docket No. 002376.0768

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Full name of first joint inventor

Richard E. Smalley

Inventor's signature



Dated:

10/25/96

Residence (City, County, State)

Houston, Harris, Texas

Citizenship

U.S.A.

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1816 Bolsover
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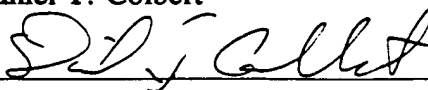
PATENT

3

Full name of second joint inventor

Daniel T. Colbert

Inventor's signature



Dated:

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Residence (City, County, State)

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Post Office Address

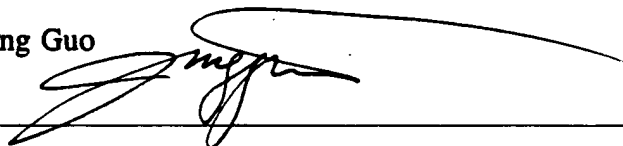
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Full name of third joint inventor

Ting Guo

Inventor's signature



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Full name of fourth joint inventor

Andrew G. Rinzler

Inventor's signature



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U.S.A.

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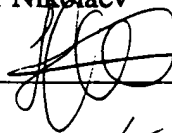
PATENT

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Full name of fifth joint inventor

Pavel Nikolaev

Inventor's signature



Dated:

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Residence (City, County, State)

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Houston, Texas 77019

Full name of sixth joint inventor

Andreas Thess

Inventor's signature



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10/25/96

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002277 0962260

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(713) 650-2724

ASSIGNEE: Rice University

By:

Name:

Title:

Date:

D. S. Boudreaux

Daryl S. Boudreaux

Director

11/20/00

00427 05622460

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1095:23729-P001US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Rice University
Divisional Application under 37 C.F.R. § 1.60 of prior Application Serial No.:
08/687,665, filed on **July 26, 1996**
Entitled: **ROPES OF SINGLE-WALL CARBON NANOTUBES**

Assistant Commissioner for Patents
Washington, D.C. 20231

POWER OF ATTORNEY
(REVOCATION OF PRIOR POWERS)

As below named Assignee for the entire interest in the above identified application by virtue of an assignment recorded in the United States Patent and Trademark Office on September 3, 1997; Reel/Frame 8686/0946,

REVOCATION OF PRIOR POWERS OF ATTORNEY

I hereby revoke all powers of attorney previously given and

NEW POWER OF ATTORNEY

I hereby appoint the following attorney(s) and/or agent(s) to prosecute and transact all business in the Patent and Trademark Office connected therewith.

Dwayne L. Mason	38,959
Hugh R. Kress	36,574
James J. Murphy	34,503
Kelly K. Kordzik	36,571
Robert C. Shaddox	34,011
Henry L. Ehrlich	39,663
Ross S. Garsson	38,150
Barry Newberger	41,527
Thomas L. Warden	47,165
Timothy M. Donoughue	46,668



002376.0768 RLT

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

OCTOBER 03, 1997

PTAS

BAKER & BOTTS, L.L.P.
RODGER L. TATE
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100539720A



UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/03/1997

REEL/FRAME: 8686/0946
NUMBER OF PAGES: 5

BRIEF: CORRECTION OF NOTICE OF RECORDATION SERIAL NUMBER
08/687776, PREVIOUSLY RECORDED REEL 8440, FRAME 0640 RECORDED
10-28-1996.

ASSIGNOR:
SMALLEY, RICHARD E.

DOC DATE: 10/25/1996

ASSIGNOR:
COLBERT, DANIEL T.

DOC DATE: 10/25/1996

ASSIGNOR:
GUO, TING

DOC DATE: 10/23/1996

ASSIGNOR:
RINZLER, ANDREW G.

DOC DATE: 10/25/1996

ASSIGNOR:
NIKOLAEV, PAVEL

DOC DATE: 10/25/1996

ASSIGNOR:
THESS, ANDREAS

DOC DATE: 10/25/1996

8686/0946 PAGE 2

ASSIGNEE:

WILLIAM MARSH RICE UNIVERSITY
6100 MAIN STREET
HOUSTON, TEXAS 77843

SERIAL NUMBER: 08687665
PATENT NUMBER:

FILING DATE: 07/26/1996
ISSUE DATE:

PEARLENE FOSTER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

BOX ASSIGNMENTS

Keep within borders

ONLY PATENTS & PAT. APP

11-01-1996

APPLNS. & PATENT RECEIVED

To the Honorable

ash., D.C. 2023

OCT 28 1996

SIR: Please record the attache

100298663

the particulars at RECEIPT ACTING. DIV.

1. Name of conveying party(ies) (assignor(s)):

Richard E. SMALLEY
Daniel T. COLBERT
Ting GUO
Andrew G. RINZLER
Pavel NIKOLAEV
Andreas THESS

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

2. Name and Address of Party(ies) receiving an interest (assignee(s)):

William Marsh Rice University
Address: 6100 Main Street
Houston, Texas 77843
Country: United States

Additional name(s) & address(es) attached? ☐ yes ☒ no

3. Nature of Conveyance:

☒ Assignment

Execution Date: October 23 and 25, 1996

☐ Merger☐ Change of Name☐ Verified Translation☐ Security Agreement☐ Other

4. Execution date(s) on the Declaration if filed herewith:

4.5 Application number(s) or patent number(s). Others on additional sheet(s) attached? ☐ yes ☒ NoA. Patent Application No(s).
(series code/serial number)First Inventor
if not in Item 1

08/687,776

08/687,665

B. Patent No(s).

First Inventor
if not in Item 1

5. Name and address of party to whom correspondence concerning document should be mailed:

Baker & Botts, L.L.P.
The Warner
1299 Pennsylvania Ave., N.W.
Washington, D.C. 20004-2400
(see telephone number below)

6. Number involved:

Applns. 1 + Pats: = Total 1

7. Amount of fee enclosed:

Above Total x \$40 = \$40.00

8. If above fee missing or inadequate charge
insufficiency to Deposit Account number
02-0375 (duplicate sheet not required.)

5.5. Atty Dkt:
002376.0768

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9. Statement and signature

To the best of my knowledge and belief, the foregoing information is true and correct and any
attached copy is a true copy of the original document.



Signature

10. Total number of pages
including this cover sheet.

(Do NOT file dup. cover sheet)

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40.00 LN

Attorney: 08687776

Reg. No. 27,399

Date: October 28, 1996

Atty/Sec: RLT/sdl

Tel: (202) 639-7700

Fax: (202) 639-7890

MED 10-28-96

ASSIGNMENT

WHEREAS, we, the undersigned joint inventors, of residence as listed below next to our names, having invented certain new and useful improvements in Ropes of Single-Wall Carbon Nanotubes, described in the application for United States Letters Patent filed on July 26, 1996 as U.S. Serial No. 08/687,665; and

WHEREAS, William Marsh Rice University (hereinafter referred to as "Assignee"), a nonprofit educational organization, with an address of 6100 Main St., Houston, Texas 77843, desires to acquire our entire right, title and interest in and to the invention, and in and to said application and any Letters Patent that may issue thereon;

NOW, THEREFORE, for and in consideration of One Dollar (\$1.00) each and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, we assign to Assignee, all right, title and interest in and to said invention and in and to said application and all patents which may be granted therefor, and all divisions, reissues, continuations, continuations-in-part and extensions thereof, and we hereby authorize and request the Commissioner of Patents and Trademarks to issue all patents for said invention, or patents resulting therefrom, insofar as our interest is concerned, to Assignee.

We also assign to Assignee, all right, title and interest to the invention disclosed in said application throughout the world, including the right to file applications and obtain patents, utility models, industrial models and designs for said invention in Assignee's own name throughout the world including all rights to publish cautionary notices reserving ownership of said invention and all rights to register said invention in appropriate registries; and we further agree to execute any and all powers of attorney, applications, assignments, declarations, affidavits, and any other papers in connection therewith necessary to perfect such right, title and interest in Assignee.

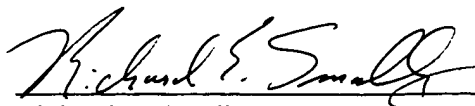
We will communicate to Assignee any facts known to us respecting any improvements; and, at the expense of Assignee, we will testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, continuation-in-part, reissue and substitute applications, make lawful oaths and declarations, and generally do everything possible to vest title in Assignee and to aid Assignee to obtain and enforce proper protection for said invention in all countries.

This Assignment shall be binding on the parties' successors, assigns and legal representatives.

Title of Invention:

Ropes of Single-Wall Carbon Nanotubes

Signature of Inventor:



Inventor's Name:

Richard E. Smalley

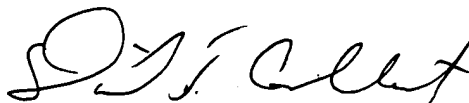
Residence (City, County, State)

Houston, Harris, Texas

Date:

10/25/96

Signature of Inventor:



Inventor's Name:

Daniel T. Colbert

Residence (City, County, State)

Houston, Harris, Texas

Date:

10/25/96

Signature of Inventor:



Inventor's Name:

Ting Guo

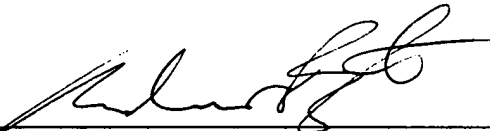
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Date:

10/23/96

Signature of Inventor:



Inventor's Name:

Andrew G. Rinzler

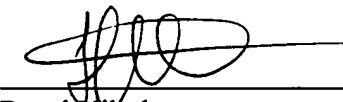
Residence (City, County, State)

Houston, Harris, Texas

Date:

10/25/96

Signature of Inventor:



Inventor's Name:

Pavel Nikolaev

Residence (City, County, State)

Houston, Harris, Texas

Date:

10/25/96

Signature of Inventor:

Inventor's Name:

Residence (City, County, State)

Date:

Andreas Thess

Andreas Thess

Houston, Harris, Texas

10/25/96